#### **CIVIL COVER SHEET**

The JS-44 civil cover sheet and the information contained herein neither replace nor supplement the filing and service of pleadings or other papers as required by law, except as provided by local rules of court. This form, approved by the Judicial Conference of the United States in September 1974, is required for use of the Clerk of Court for the purpose of initiating the civil docket sheet.

**PLAINTIFFS DEFENDANTS** Eton Park Fund, L.P. and Eton Park Master Fund, Ltd. See attached Rider. ATTORNEYS (FIRM NAME, ADDRESS, AND TELEPHONE NUMBER ATTORNEYS (IF KNOWN) Bernstein Litowitz Berger & Grossmann LLP 12481 High Bluff Drive, Suite 300, San Diego, CA 92130 Tel: (858) 793-0070 CAUSE OF ACTION (CITE THE U.S. CIVIL STATUTE UNDER WHICH YOU ARE FILING AND WRITE A BRIEF STATEMENT OF CAUSE) (DO NOT CITE JURISDICTIONAL STATUTES UNLESS DIVERSITY) Sections 10(b) and 20(a) of the Securities Exchange Act of 1934, Sections 11 and 15 of the Securities Act of 1933, NY Common Law Fraud Judge Previously Assigned Has this action, case, or proceeding, or one essentially the same been previously filed in SDNY at any time? No √Yes □ If yes, was this case Vol. Invol. Dismissed. No Yes If yes, give date & Case No. No × Yes IS THIS AN INTERNATIONAL ARBITRATION CASE? NATURE OF SUIT (PLACE AN [x] IN ONE BOX ONLY) TORTS **ACTIONS UNDER STATUTES** CONTRACT PERSONAL INJURY FORFEITURE/PENALTY BANKRUPTCY OTHER STATUTES PERSONAL INJURY
[ ] 367 HEALTHCARE/ [] 375 FALSE CLAIMS PHARMACEUTICAL PERSONAL [ ] 625 DRUG RELATED [ ] 422 APPEAL INSURANCE 310 AIRPLANE 1110 [ ] 376 QUI TAM [ ] 315 AIRPLANE PRODUCT INJURY/PRODUCT LIABILITY ] 120 28 USC 158 SEIZURE OF PROPERTY MILLER ACT [ ] 400 STATE REAPPORTIONMENT 1130 LIABILITY [ ] 365 PERSONAL INJURY [ ] 423 WITHDRAWAL 21 USC 881 NEGOTIABLE [ ] 320 ASSAULT, LIBEL & PRODUCT LIABILITY 28 USC 157 []140 [ ] 690 OTHER INSTRUMENT SLANDER [ ] 368 ASBESTOS PERSONAL 410 ANTITRUST [ ] 330 FEDERAL []150 RECOVERY OF INJURY PRODUCT 430 BANKS & BANKING OVERPAYMENT & EMPLOYERS' LIABILITY PROPERTY RIGHTS 450 COMMERCE ENFORCEMENT OF JUDGMENT LIABILITY **460 DEPORTATION** [ 1340 MARINE PERSONAL PROPERTY 1820 COPYRIGHTS ] 470 RACKETEER INFLU-MEDICARE ACT [ ] 345 MARINE PRODUCT **ENCED & CORRUPT** 1 152 1370 OTHER FRAUD [ ] 840 TRADEMARK RECOVERY OF LIABILITY ORGANIZATION ACT [] 371 TRUTH IN LENDING [ ] 350 MOTOR VEHICLE DEFAULTED (RICO) STUDENT LOANS [ ] 355 MOTOR VEHICLE ] 480 CONSUMER CREDIT (EXCL VETERANS) PRODUCT LIABILITY SOCIAL SECURITY [ ]490 CABLE/SATELLITE TV RECOVERY OF [ ] 360 OTHER PERSONAL []153 [ ] 380 OTHER PERSONAL OVERPAYMENT INJURY LABOR 1861 HIA (1395ff) [x 850 SECURITIES/ [ ] 362 PERSONAL INJURY OF VETERAN'S PROPERTY DAMAGE 862 BLACK LUNG (923) COMMODITIES/ MED MAI PRACTICE [ ] 385 PROPERTY DAMAGE []710 FAIR LABOR BENEFITS 863 DIWC/DIWW (405(g)) **EXCHANGE** STOCKHOLDERS []160 PRODUCT LIABILITY STANDARDS ACT 1864 SSID TITLE XVI SUITS [] 720 LABOR/MGMT ] 865 RSI (405(g)) []190 OTHER PRISONER PETITIONS **RELATIONS** [ ] 890 OTHER STATUTORY CONTRACT 1463 ALIEN DETAINEE 1 1740 RAILWAY LABOR ACT ACTIONS
[] 891 AGRICULTURAL ACTS CONTRACT [ ] 510 MOTIONS TO **FEDERAL TAX SUITS** []195 [] 751 FAMILY MEDICAL VACATE SENTENCE **ACTIONS UNDER STATUTES** PRODUCT LEAVE ACT (FMLA) 28 USC 2255 [ ] 870 TAXES (U.S. Plaintiff or [] 790 OTHER LABOR [ ] 530 HABEAS CORPUS [ ] 535 DEATH PENALTY Defendant)
[ ] 871 IRS-THIRD PARTY []196 FRANCHISE CIVIL RIGHTS [] 893 ENVIRONMENTAL LITIGATION MATTERS [] 791 EMPL RET INC [ ] 540 MANDAMUS & OTHER 26 USC 7609 [ 1895 FREEDOM OF [ ] 440 OTHER CIVIL RIGHTS SECURITY ACT (ERISA) INFORMATION ACT (Non-Prisoner) REAL PROPERTY [ ] 896 ARBITRATION 1441 VOTING **IMMIGRATION** [ ] 899 ADMINISTRATIVE 442 EMPLOYMENT []210 LAND PRISONER CIVIL RIGHTS PROCEDURE ACT/REVIEW OR 1 443 HOUSING/ CONDEMNATION [ ] 462 NATURALIZATION ACCOMMODATIONS APPLICATION
[ ] 465 OTHER IMMIGRATION APPEAL OF AGENCY DECISION FORECLOSURE RENT LEASE & []220 []230 1550 CIVIL RIGHTS [ ] 445 AMERICANS WITH 555 PRISON CONDITION [ ] 950 CONSTITUTIONALITY OF **EJECTMENT** DISABILITIES -[ ] 560 CIVIL DETAINEE CONDITIONS OF CONFINEMENT **ACTIONS** STATE STATUTES TORTS TO LAND EMPLOYMENT []240 []245 AMERICANS WITH []446 TORT PRODUCT DISABILITIES -OTHER LIABILITY [ ] 448 EDUCATION []290 ALL OTHER REAL PROPERTY Check if demanded in complaint: DO YOU CLAIM THIS CASE IS RELATED TO A CIVIL CASE NOW PENDING IN S.D.N.Y. AS DEFINED BY LOCAL RULE FOR DIVISION OF BUSINESS 13? CHECK IF THIS IS A CLASS ACTION IF SO, STATE: UNDER F.R.C.P. 23 JUDGE Alvin K. Hellerstein DOCKET NUMBER 15-mc-00040-AKH

Check YES only if demanded in complaint JURY DEMAND: YES □NO

DEMAND \$ OTHER

(PLACE AN x IN ONE BOX ONLY)	ORIC	SIN			
1 Original Proceeding 2 Removed from State Court	3 Remanded 4 Reinstate Reopene Appellate			7 Appeal to District Judge from Magistrate Judge	
☐ a. all parties rep	333.1		8 Multidistrict Litigation (I	Direct File)	
is pro se.					
(PLACE AN x IN ONE BOX ONLY)  ☐ 1 U.S. PLAINTIFF ☐ 2 U.S. DEFE	BASIS OF JUI ENDANT X 3 FEDERAL QUESTION (U.S. NOT A PARTY)		IF DIVERSIT CITIZENSHII	Y, INDICATE P BELOW.	
CITIZENSHIP OF PRINCIPAL PARTIES (FOR DIVERSITY CASES ONLY)					
(Place an [X] in one box for Plaintiff and one box for Defendant)					
CITIZEN OF THIS STATE PTF DEF	CITIZEN OR SUBJECT OF A FOREIGN COUNTRY		RPORATED and PRINCIPAL PLAC JSINESS IN ANOTHER STATE	PTF DEF E []5 []5	
CITIZEN OF ANOTHER STATE [ ]2 [ ]2	INCORPORATED or PRINCIPAL PLAC OF BUSINESS IN THIS STATE	E []4[]4 FORE	IGN NATION	[]6 []6	
PLAINTIFF(S) ADDRESS(ES) AND COUNTY(IES)  See Attached Rider.					
DEFENDANT(S) ADDRESS(ES) AND See Attached Rider.	) COUNTY(IES)				
DEFENDANT(S) ADDRESS UNKNOWN REPRESENTATION IS HEREBY MADE TO THE RESIDENCE ADDRESSES OF THE	HAT, AT THIS TIME, I HAVE BEEN UN	NABLE, WITH REASONA	BLE DILIGENCE, TO ASCERT	AIN	
	COURTHOUSE A			40.00	
I hereby certify that this case should be DO NOT check eit	e assigned to the courthouse indicate her box if this is a PRISONER PET			ness 18, 20 or 21	
Check one: THIS ACTION SHOU	LD BE ASSIGNED TO:	WHITE PLAINS	<b>X</b> MANHATTAN		
DATE 12/5/16 SIGNATURE OF A	ATTORNEY OF RECORD		O PRACTICE IN THIS DISTRI	СТ	
RECEIPT # /s/ Blair A. Nicholas		[ <b>x</b> ] NO []YES (DA Attorney Bar	NO [ ] YES (DATE ADMITTED Mo Yr) Attorney Bar Code #		
Magistrate Judge is to be designa	ted by the Clerk of the Court.				
Magistrate Judge			is so Designated.		
Ruby J. Krajick, Clerk of Court by	Deputy Clerk,	DATED	<del>-</del>		

UNITED STATES DISTRICT COURT (NEW YORK SOUTHERN)

# RIDER TO CIVIL CASE COVER SHEET

# **PLAINTIFFS**

Eton Park Fund, L.P.

Eton Park Master Fund, Ltd.

All Plaintiffs: c/o Bernstein Litowitz Berger & Grossmann LLP

### **DEFENDANTS**

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